

#### **Iowa Department of Human Services**

# 2016 Provider Quality Management SelfAssessment

October 2016

#### 2016 Self-Assessment

- The annual HCBS Self-Assessment process is currently underway with submission to occur by December 1, 2016 as instructed on the HCBS 2016 Provider Quality Management Self-Assessment Form 470-4547.
- The submission of the self-assessment and participation in IME HCBS quality oversight activities is required for certain provider types to maintain enrollment as an Iowa Medicaid provider.
- A provider who fails to maintain enrollment with lowa Medicaid will also lose enrollment with any contracted managed care companies.

#### Objectives

- Overview of the Home and Community Based Services (HCBS) Provider Quality Oversight process
- Familiarize providers with updates to the 2016 Self-Assessment
- Identify and address frequently asked questions
- Provide resources for technical support

### Four Methods of Provider Oversight

Self-Assessment

Focused Desk Review

Provider Oversight

Targeted Review

Periodic On-Site Review

#### **Focused Review**

- The purpose is to verify the provision of quality service delivery.
- Providers are randomly selected to represent a variety of services, provider types and geographical areas or if issues are identified through other quality improvement activities.
- Focused Review Topics change annually.
- Outcome could result in commendations, recommendations, corrective actions or an on-site review.

#### **Targeted Review**

- Can be conducted as needed, either announced or unannounced. May consist of a desk review or may be completed on site.
- Initiated as a result of concerns arising from other quality oversight activities including other types of reviews, incident reports, complaints, member surveys, or referral from other units within IME.
- Outcome could result in commendations, recommendations, corrective actions, or sanctions

#### Periodic/Certification On-Site Reviews

- Considered a "full" review.
- Evaluates evidence to support quality service delivery by examining evidence of compliance with the Code of Federal Regulations (CFR), Iowa Code, and Iowa Administrative Code (IAC) standards.
- Periodic review occurs on 5-year cycle, certification reviews are combined with periodic review when possible.
- Outcome could result in commendations, recommendations, corrective actions or sanctions.

#### Self-Assessment

- Annual self-reporting tool on standards for service delivery for identified HCBS Medicaid providers.
  - Covered services are identified in Section B of the self-assessment
- Providers are expected to self-report on CFR, lowa Code, and IAC requirements for specific services and implementation of best practice recommendations and develop corrective action plans as needed.

#### Self-Assessment (continued)

 Part of demonstrating your on-going internal quality improvement process.

 Opportunity to self-govern and assess outcome of future reviews.

#### **Due Date**

- By December 1, 2016
- Incomplete self-assessments will not be accepted.
  - A completed self-assessment will need to be resubmitted by the provider by December 1, 2016.
- Failure to submit the required 2016 Quality
   Management Self-Assessment by December 1, 2016 will jeopardize your agency's Medicaid enrollment.

#### New for 2016

- Formatting
  - Fillable PDF document, submitted via email
  - Allows for electronic signatures
- Removed what was previously Section C regarding office and site locations
  - New form for collecting all office and service locations to further analyze Iowa's HCBS service settings
- Expanded response options regarding HCBS settings
  - Allows for service-specific responses

#### The 2016 **Self-Assessment**

- •http://dhs.iowa.gov/ime/ providers/enrollment/prov ider-qualitymanagement-selfassessment
- Save form to your computer
- Complete electronically
- Read instructions carefully
- Submit through email



This form is required for entities enrolled to provide services in Section B under the following waivers/programs:

- Health and Disability
- AIDS/HIV Waiver
- Elderly Waiver
- Brain Injury Waiver (BI)
- Children's Mental Health Waiver (CMH)
- Physical Disability Waiver
- Intellectual Disability Waiver
   HCBS Habilitation Services

Each provider is required to submit one, five-section self-assessment by December 1, 2016. Incomplete self-assessments will not be accepted. This form is set up as a fillable pdf to be completed and submitted via email using the "submit" button located at the end of the form. For assistance, visit the Provider Quality Management Self-Assessment webpage.

Section A. Identify the agency submitting this form.

Section B. Identify the programs and services your agency is enrolled to provide. If you are uncertain which services you are enrolled for, contact lowa Medicaid Enterprise (IME) Provider Services at 800-338-7909, option 2 or imeproviderservices@dhs.state.ia.us.

Section C. Select the response option from the "Response Option" column that indicates the most accurate response for each item. If required areas are incomplete, the self-assessment will be returned to the agency and must be resubmitted.

Section D. Please complete and sign as directed.

Section E. Please fill out the information as requested.

Questions should be directed to the HCBS Specialist assigned to the county where the parent agency is located. For a complete list of HCBS Quality Oversight Unit contacts and a list of HCBS Specialists by region, please go to the DHS webpage HCBS Waiver Provider Contacts2

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https://dhs.lowa.gov/ime/providers/enrollment/provider-quality-management-self-assessment

http://dhs.iowa.gov/ime/members/medicald-a-to-z/hcbs/hcbs-contacts

#### Section A. Agency Identification

Please identify your agency by providing the following information. Please type using the text entry fields below.

Envelope III eventore (EIIII)	a alleria					
Employer ID number (EIN) (9	3-aigns):					
Agency name (as registered	to EIN leads	order beder				
Agency name (as registered	TO EIN IUCK	saled above).				
Administrator/CEO:			Title:			
Autimioualu/CEO.			TIDE.			
Mailing address:			Agency address:			
maining data coo.			rigericy accuracy.			
City:	State:	ZIp:	City:		State:	ZID:
*		'	*			
County:			County:			
-			-			
	_					
Name of person responsible	for agency	quality improver	nent activities:	Phone	number.	
						Ext:
The of course consider to			and a self-reference			
Title of person responsible for	or agency o	uality improveme	ent activities.	Fax nur	nber.	
Quality coordinator's email a	delener		Administrator's email	relationer		
Quality Coordinator a errair a	uultos.		Authiniou aux o ciriai	auuitoo		
Agency website address:						

# Section A – Provider Identification (continued)

- Demographic Information
- EIN = employer ID# or taxpayer ID#
- Legal name, if different from name you are doing business as(DBA)
- Correct email addresses
- If you have had a change in legal name or address, complete form 470-4608 on

http://dhs.iowa.gov/ime/providers/forms

#### Section B. Service Enrollment

Indicate each of the programs and corresponding services your agency is enrolled to provide (regardless of whether or not these services are currently being provided). If your agency is not enrolled for any of the services in this section, you are not required to submit the 2016 Provider Quality Management Self-Assessment. If you are uncertain as to the services your agency is enrolled for, please contact the IME Provider Services as explained on page one.

Program	AIDS/HIV Waiver	BI Waiver	CMH Waiver
Services	Adult day services  Agency Consumer- Directed Attendant Care (CDAC)  Counseling Respite	Adult day services Behavior programming Agency Consumer- Directed Attendant Care (CDAC) Family counseling and training Interim Medical Monitoring and Treatment (IMMT) Prevocational services Respite Supported Community Living (SCL) Supported Employment (SE)	Family and community support services In-home family therapy Respite

# Section B – Service Enrollment (continued)

- Select ALL services you are enrolled for.
- You may be enrolled for additional HCBS services not listed in Section B. These services are not part of the self-assessment or HCBS quality oversight process.
- Self-Assessment responses will be based on the policies and procedures the agency utilizes for the services indicated in Section B.

#### HCBS Settings Data Collection New for 2016

 Following submission of the completed selfassessment form, your agency will be provided with an electronic form to submit location information regarding all office and service settings.

### Section C – State and Federal Standards

I. Providers are required to establish and maintain fis IAC Chapters 78 and 79	cal accountability
At a minimum, all providers will maintain evidence of:	Response Options:
<ol> <li>The current rate setting system (for example, D-4s, fee schedules, County Rate Information System report)</li> </ol>	Yes No
<ol> <li>Documentation to support planning and tracking the use of member support dollars that are incorporated into the rate for SCL, RBSCL, home-based habilitation, and family and community support services</li> </ol>	Yes No N/A
The maintenance of fiscal and clinical records for a minimum of five years	☐ Yes ☐ No
If indicating "No," describe plan to meet the standard(s) or other reasonstandard(s):	on that you are not required to meet the
If indicating "NA," you must describe why the standard(s) are not appl	icable to your agency:

# Section C– State and Federal Standards (continued)

- You must select a response for each standard. Any selfassessments with unanswered standards or comments will be returned and considered not complete.
  - If indicating "Yes", it means you have a policy and/or evidence in place as required. It is not necessary to explain your response.
  - If indicating "No", you must describe a corrective action plan (CAP) to meet the standards
  - If indicating "NA", you must describe why the standard(s) are not applicable to your facility.

### Section C– II. Training Requirements New for 2016

- Providers of prevocational and supported employment services have additional training requirements as a result of Chapter 77 rule revisions in May 2016.
  - Informational Letter 1665 provides additional information on direct support staff training requirements for these services
- Select a response to identify if your agency is currently meeting the identified training requirements. If "No", describe the agency's plan to meet standards.

### Section C - III. Requirement B. HCBS settings

- 42 CFR 441-310 (c)(4) and 42 CFR 441-710
- Applies to HCBS services covered by the selfassessment.
  - Responses for respite are not required due to the nature of the service
- Respond to standards "a." through "n." for each service the agency is enrolled
- If a service you are enrolled for is not listed under a specific standard, you are not required to provide a response to that standard for that service.

Requirement B. HCBS settings required for all providers  At a minimum, there will be evidence of:	Response Options:
Community Integration supported by:	
The setting is integrated in, and facilitates the member's full access to, the greater community, including opportunities to seek employment and work in competitive integrated settings, engage in community life, control personal resources, and receive services in the community, like members without disabilities	
Adult Day Services	Yes No N/A
Agency Consumer-Directed Attendant Care (CDAC)	Yes No N/A
Assisted Living Service	Yes No N/A
Behavior Programming	Yes No N/A
Counseling	Yes No N/A
Day Habilitation	Yes No N/A
Family Counseling and Training	Yes No N/A
Family and Community Support Services	Yes No N/A
In-home Family Therapy	Yes No N/A
Interim Medical Monitoring and Treatment (IMMT)	Yes No N/A
Mental Health Outreach	Yes No N/A
Prevocational Services	Yes No N/A
Residential-Based Supported Community Living	Yes No N/A
Supported Community Living (SCL)	Yes No N/A
Supported Employment (SE)	☐ Yes ☐ No ☐ N/A
Habilitation Services	
Day Habilitation	Yes No N/A
Home-based Habilitation	Yes No N/A
Prevocational Habilitation	Yes No N/A
Supported Employment Habilitation	Yes No N/A
If Indicating "No," describe plan to meet the standard(s) or other reason standard(s):	that you are not required to meet the
If indicating "NA," you must describe why the standard(s) are not applied	able to your agency:

#### Requirement B. HCBS settings (cont.)

- Standards a-f include
  - -All HCBS services
- Standards g, h, I, m, n include HCBS services that are
  - Provider-owned, provider-controlled\*
  - Residential settings
- Standards i, j, k include HCBS services that are
  - Provider-owned, provider-controlled \*
  - Non-residential settings
  - \* The definition of a provider-owned and controlled setting is included within Section C III. Requirement B.

### Requirement B. HCBS settings (cont.)

Requirement B. "g." through "n." applies to services in provider-owned or controlled settings. As indicated in the approved statewide transition plan (STP), services are provider-owned or provider-controlled if the following conditions are present:			
If the HCBS provider leases from a third party or owns the property, this would be considered provider-owned or controlled. If the provider does not lease or own the property, but has a direct or indirect financial relationship with the property owner, it would be presumed that the setting was provider-controlled unless the property owner or provider establishes that the nature of the relationship did not affect either the care provided or the financial conditions applicable to tenants. If the member leases directly from the third party that has no direct or indirect financial relationship with the provider, the property is not considered provider-owned or controlled.	Re	esponse Op	tions:
<li>g. In provider-owned or provider-controlled setting, each member has privacy in their sleeping or living unit</li>			
member has privacy in their sleeping or living unit			
Agency Consumer-Directed Attendant Care (CDAC)	Yes	No	N/A
	Yes Yes	□ No	□ N/A
Agency Consumer-Directed Attendant Care (CDAC)			
Agency Consumer-Directed Attendant Care (CDAC) Assisted Living Service	Yes	□ No	□ N/A
Agency Consumer-Directed Attendant Care (CDAC)  Assisted Living Service  Residential-Based Supported Community Living	Yes Yes	No No	□ N/A

#### Requirement B. HCBS settings (cont.)

- A response of "Yes" indicates that the provider can demonstrate evidence of compliance through various agency policies or procedures
  - Evidence may include member service plans, service contracts, lease agreements, member assessments, activity calendars, service documentation
- A written policy on HCBS settings and integration is not currently required, but recommended
- Additional resources can be found at the HCBS Settings Transition webpage

### Section E – Guarantee of Accuracy

may be subject to criminal, civi	and the model of the annual section of the section	ability.	Start and end date ti most recent accredit (je: 5/15/2010 to 5/3	tation is valid.
HCBS. Include dates of accreditation/ end):  Council on Accreditation  CARF International  lowa Department of Public Health  HCBS Certification  The Council on Quality and Leade	ficensure/certification for		ctions and Appeals	IM/YY
ls your organization in good standing If your organization received less t corrective action plan must accom Assessment.	than a three year accre	ditation/certification,	the review results	
Is this organization in good standing v	with the Iowa Secretary o	of State's Office?	☐ Yes	□ No
Does your organization attest to being 441.710(a), or have a plan to come in if your organization is not currently provider-controlled settings, your Settings Rule 42 CFR 441.301(c)(4)	to compliance with this r yfully in compliance w organization myst subi	rule prior to March 17, ith CMS requirement mit your plan to beco	2019? Yes	□ No
Answer "yes" if are registered with th Secretary of State and you are current in good standing http://sos.iowa.gov.	tly	Pro	ovider's answer "Yes	" if they receiv
		action plan av	e highest level of acc ailable. Answer "No"	reditation

# Section E – Guarantee of Accuracy (continued)

- Accreditation/Licensing/Certification needed to provide enrolled HCBS services
  - Include start and end dates of accreditation/licensure/certification
- Signatures
  - May be signed digitally
  - Self-Assessments without signatures will be returned
  - Factor in time to obtain signatures
  - Indicate if your agency does not have a board of directors

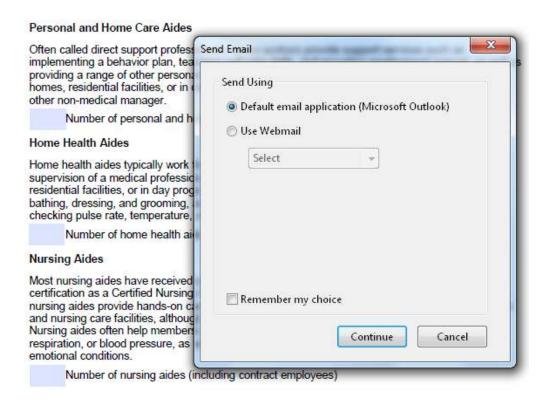
#### **Timeliness**

- Due by December 1, 2016
- Implementation of corrective action to address current CFR, Iowa Code, and IAC standards must be completed within 30 days of the date in Section E.
- For any areas relating to HCBS settings per 42 CFR 441.301(c)(4) and 42 CFR 441.710, corrective action must identify how providers will come into compliance on or before March 17, 2019.
- Failure to submit the required 2016 Quality
   Management Self-Assessment will jeopardize your agency's Medicaid enrollment.

#### Self-Assessment Submission New for 2016

- Self-Assessment will be submitted electronically via email attachment as one complete document
  - Use "Submit" button at the end of the document
- Include supporting documentation from accreditation, only if needed (See Section E – Guarantee of Accuracy)
  - Should attach accreditation reports to the same email as the self-assessment to prevent separation or loss of documents

# Self-Assessment Submission New for 2016 (cont.)



SUBMIT

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# Self-Assessment Submission New for 2016 (cont.)



Form Returned: 470-4547 (3).pdf

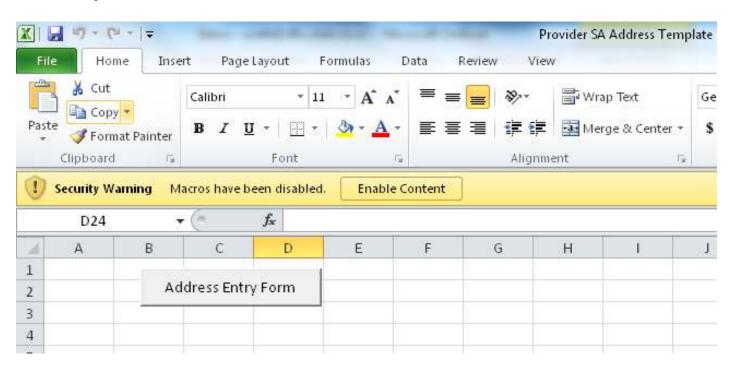
The attached file is the filled-out form. Please open it to review the data.

#### Settings Data Collection New for 2016

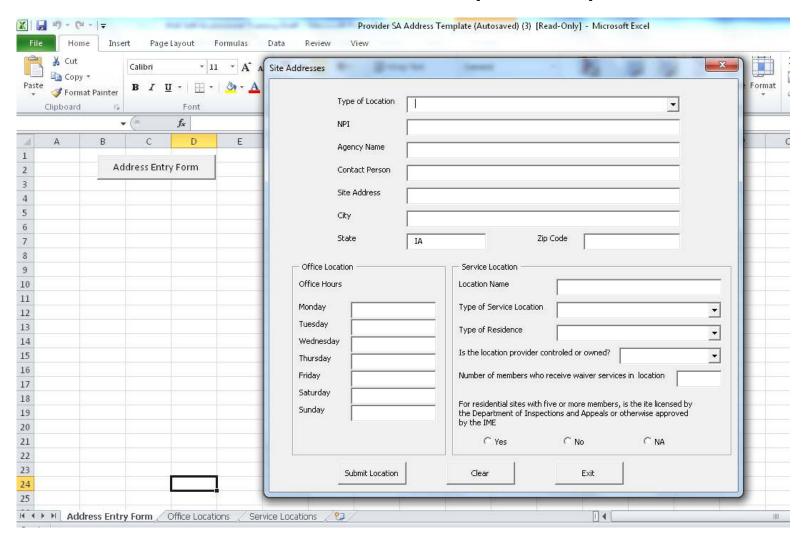
- As indicated in the department's statewide transition plan to the Centers for Medicare and Medicaid Services (CMS), information on HCBS service setting sites will continue to be collected and analyzed.
- Upon receipt of the completed 2016 self-assessment, the regional HCBS specialist will email the provider an electronic form and instructions for submission

# Settings Data Collection New for 2016 (cont.)

- The form is a Microsoft Excel file
  - Select "Enable content" if a yellow bar comes up at the top



### Settings Data Collection New for 2016 (cont.)

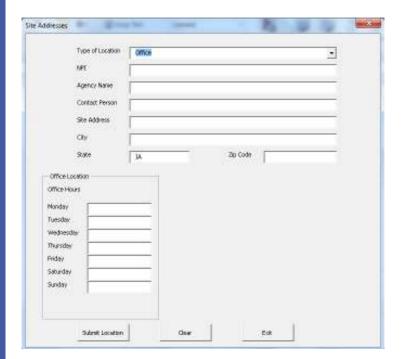


### Settings Data Collection New for 2016 (cont.)

- Pop-up window will automatically open with the form to enter data
  - The Excel spreadsheet remains open in the background and information submitted in the form will populate to the appropriate tab "Office locations" or "Service locations"
  - If the Address Entry Form is closed using the red "X", it can be opened again by navigating to the tab "Address Entry Form" and clicking the button with the same title. Continue entering data on the form where you left off.

### Settings Data Collection New for 2016 (cont.)

#### **Type of Location: Office**



#### Type of Location: Service

Type of Location	Simyon				
MPE					
Agency Name				_	
Contact Person	_				
- e-cooperation	1				
The Address					
City					
Date	TA.	-	To Code		
		Type of Service Location Type of Residence	n Readertial (ho	ne(spetnent)	•
		Is the location provider	controlled or several?	Yes	-
		Thurster of members of	o receive viabver servi	ces in location	
		For residential abes with the Department of Inspiry the IMC	h five or more reenber ections and Appeals o	s, is the telicareed by otherwise approved	

### Settings Data Collection New for 2016 (cont.)

- Submit all office locations and service provision sites for services identified in Section B, not including respite
  - Including member addresses if services are provided in the member home's
  - Submission of the self-assessment will not be considered complete until this component is received
- Information on service sites and addresses will NOT be accepted prior to the HCBS specialist requesting it and should be submitted via the approved form only

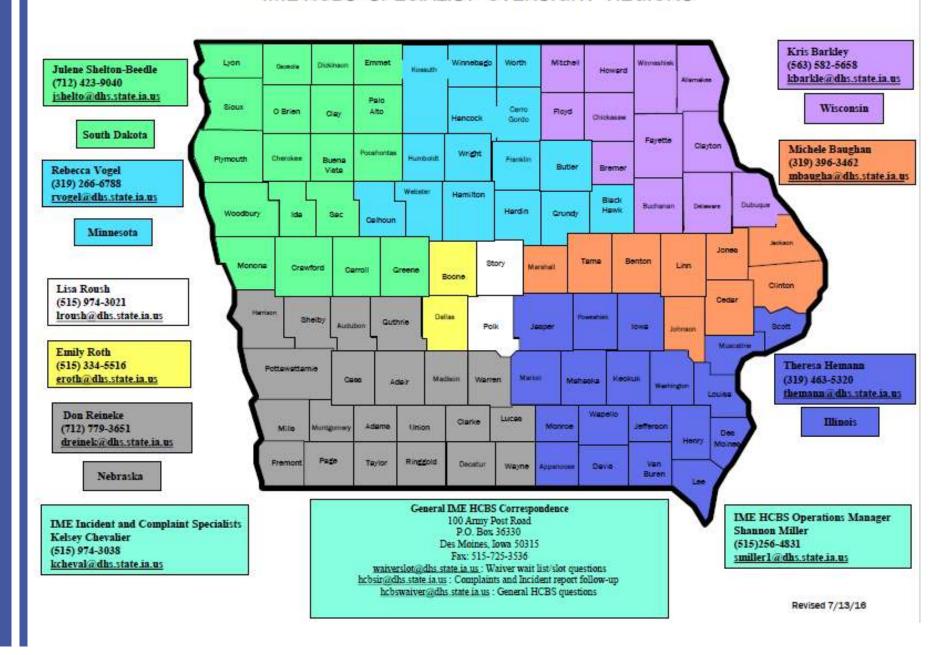
#### What to expect following submission

- Save settings data collection form and email as an attachment to your HCBS specialist by December 1, 2016
- Providers will receive written letter of acceptance by IME
- Incomplete submission
  - If areas of the self-assessment are incomplete or corrective action was not identified, the provider will be notified and the self-assessment must be resubmitted
  - The December 1, 2016 due date still remains

#### **HCBS** Support

- Where to find more information/support
  - Website
    - http://dhs.iowa.gov/ime/providers/enrollment/providerquality-management-self-assessment
      - Frequently Asked Questions (FAQs)
      - Self-Assessment Training Slides
      - Link to regional specialist map
      - Archived Self-Assessment resources
  - Informational Letter No.1729

#### IME HCBS SPECIALIST OVERSIGHT REGIONS



#### Additional Resources

- Centers For Medicare and Medicaid Services <a href="http://www.cms.gov/">http://www.cms.gov/</a>
- Iowa Code and Iowa Administrative Code (IAC): <a href="http://search.legis.state.ia.us/nxt/gateway.dll/ic?f=templates">http://search.legis.state.ia.us/nxt/gateway.dll/ic?f=templates</a> es&fn=default.htm
- HCBS Settings Transition http://dhs.iowa.gov/ime/about/initiatives/HCBS

#### Additional Resources (cont.)

- Informational Letter sign-up on IMPA homepage: <a href="https://secureapp.dhs.state.ia.us/impa">https://secureapp.dhs.state.ia.us/impa</a>
- Archived Informational Letters
   <a href="http://dhs.iowa.gov/ime/providers/rulesandpolicies/bulletins">http://dhs.iowa.gov/ime/providers/rulesandpolicies/bulletins</a>
- Provider Services:

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http://dhs.iowa.gov/ime/providers
imeproviderservices@dhs.state.ia.us
1-800-338-7909 (toll free) or 515-256-4609 (Des Moines)
Select Option 4
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Send questions to:

hcbsqi@dhs.state.ia.us

Subject: 2016 Self-Assessment